

DEC. 12. 2006 3:17PM

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NO. 537 P. 1

FAX COVER SHEET

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DATE: December 12, 2006

TO: Commissioner of Patents (571) 273-8300 United States Patent and Trademark Office

FROM: John W. Goldschmidt, Jr.

NO. OF PAGES: 16

CLIENT / MATTER: 22830-67061

USER ID NUMBER: 1181

COMMENTS: Inventor: William F. Walsh
Appn. No.: 09/588,389
Filing Date: June 6, 2000
Title: METHOD, APPARATUS AND COMPUTER-BASED PROGRAM FOR EXCLUSIVE INVESTMENT OF DEBENTURE CREDIT
Docket No: 05-1076
C/M Ref. No. 22830-67061
Facsimile Transaction Date: December 12, 2006 Atty/staff: JWG/msm

The U.S. Patent and Trademark Office acknowledges and has stamped hereon the date of receipt of the following items: Cover Letter (1 page); Request for Correction of Official Filing Receipt (2 pages); Exhibit A - a Copy of 08/17/2000 Filing Receipt (1 page); Exhibit B - a Copy of 10/19/2000 Filing Receipt (4 pages); and Exhibit C - a Copy of the Combined Declaration and Power of Attorney (7 pages) - all filed via facsimile to Patent Central Fax (571) 273-8300.

THIS MESSAGE IS INTENDED ONLY FOR THE USE OF THE INDIVIDUAL OR ENTITY TO WHICH IT IS ADDRESSED, AND MAY CONTAIN INFORMATION THAT IS PRIVILEGED, CONFIDENTIAL AND EXEMPT FROM DISCLOSURE UNDER APPLICABLE LAW.

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NO. 537 P. 2

DILWORTH PAXSON LLP

DIRECT DIAL NUMBER:
(215) 575-7181

LAW OFFICES

JOHN W. GOLDSCHMIDT, JR.
jgoldschmidt@dilworthlaw.com

December 12, 2006

VIA FACSIMILE (571) 273-8300

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

RE: U.S. Patent Application No. 09/588,389
Title: METHOD, APPARATUS AND COMPUTER-BASED PROGRAM
FOR EXCLUSIVE INVESTMENT OF DEBENTURE CREDIT
Filed: June 6, 2000
Inventor: William F. Walsh
Attorney Docket No.: 05-1076

Dear Sir/Madam:

In reference to the above-captioned application, transmitted herewith is the following:

1. Request for Correction of Official Filing Receipt (2 pages);
2. Exhibit A - a Copy of 08/17/2000 Filing Receipt (1 page);
3. Exhibit B - a Copy of 10/19/2000 Filing Receipt (4 pages); and
4. Exhibit C - a Copy of the Combined Declaration and Power of Attorney (7 pages)

The Commissioner is hereby authorized to charge any deficiencies or credit any overpayment in the enclosed amounts to Deposit Account Number 50-0979.

Respectfully submitted,

John W. Goldschmidt, Jr.
Registration No. 34,828

JWG/msm
Attachment

CERTIFICATE OF FACSIMILE TRANSMISSION UNDER 37C.F.R. 1.8

I hereby certify that this correspondence, and all papers and things referred to herein as being attached, enclosed, transmitted, or otherwise submitted, are being facsimile transmitted to the United States Patent and Trademark Office at (571) 273-8300 on the date set forth below.


Megumi S. McKeever

Date: December 12, 2006

3200 MELLON BANK CENTER • 1735 MARKET STREET • PHILADELPHIA PA 19103-7595
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NO. 537 P. 3

Attorney Docket No. 05-1076

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

William F. Walsh

Serial No.: 09/588,389

Filed: June 6, 2000

For: METHOD, APPARATUS AND
COMPUTER-BASED PROGRAM FOR
EXCLUSIVE INVESTMENT OF
DEBENTURE CREDIT

Patent Art Unit: 3624

Examiner: Kelly Scaggs Campen

**REQUEST FOR CORRECTION OF
OFFICIAL FILING RECEIPT**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicant wishes to advise the Commissioner of an error in the Applicant(s) identified on the official Filing Receipt dated August 17, 2000, and on the updated Filing Receipt dated October 19, 2000. Specifically, on each Filing Receipt, two (2) inventors are identified as:

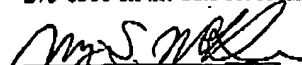
"William F. Walsh, Basking Ridge, NJ;
Michael A. Arbolino, Freehold, NJ".

However, and as indicated in the Combined Declaration and Power of Attorney currently of record, the above-identified application should identify only a single inventor, namely:

-- William F. Walsh, Basking Ridge, NJ --.

CERTIFICATE OF FACSIMILE TRANSMISSION UNDER 37 C.F.R. 1.8

I hereby certify that this correspondence, and all papers and things referred to herein as being attached, enclosed, transmitted, or otherwise submitted, are being facsimile transmitted to the United States Patent and Trademark Office at (571) 273-8300 on the date set forth below.


Megumi S. McKeever

Date: December 12, 2006

668795_1

Serial No.: 09/588,389
Paper Dated November 30, 2006

Thus, for the following reasons, Applicant respectfully requests the correction of the inventorship associated with the above-identified application.

In support of the foregoing request, attached as Exhibits "A" and "B" are copies of the official Filing Receipts received from the United States Patent and Trademark Office, with the foregoing correction noted thereon; and, attached as Exhibit "C", is a copy of the Combined Declaration and Power of Attorney filed with the United States Patent and Trademark Office on October 4, 2000. As stated in the Combined Declaration and Power of Attorney, William F. Walsh is the original, first, and sole inventor of the subject matter of the invention claimed in the above-identified application.

Accordingly, Applicant respectfully requests that the Commissioner issue, at the earliest possible time, a corrected Filing Receipt indicating the correct inventorship for the above-identified application.

The Commissioner is hereby authorized to charge any deficiencies or credit any overpayment related to this submission to Deposit Account Number 50-0979.

Respectfully submitted,



John W. Goldschmidt, Jr.
Registration No. 34,828

Date: December 12, 2006

DILWORTH PAXSON LLP
3200 Mellon Bank Center
1735 Market Street
Philadelphia, PA 19103-7595
Tel. (215) 575-7000
Fax (215) 575-7200
Attorneys for Applicant

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OC000000005331221

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark OfficeAddress: ASSISTANT SECRETARY AND
COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/588,389	06/06/2000	2761	0	22830-67061	5	25	4

John F Letchford Esquire
Dilworth Paxson LLP
3200 Mellon Bank Center
1735 Market Street
Philadelphia, PA 19103-7595

Date Mailed: 08/17/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

William F. Walsh, Basking Ridge, NJ;
~~Michael A. Arbelino, Freehold, NJ;~~

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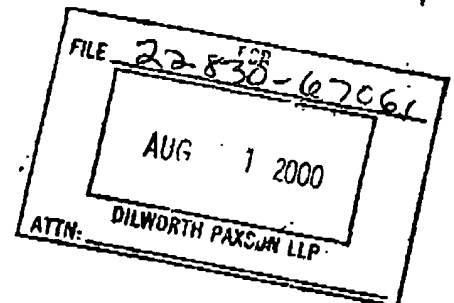
m.d.c.

Continuing Data as Claimed by Applicant

THIS APPLICATION IS A CIP OF 09/253,880 02/22/1999 ABN

Foreign Applications

If Required, Foreign Filing License Granted 08/17/2000



Title

Method, apparatus and computer-based program for exclusive investment of debenture credit

Preliminary Class

705

Data entry by : THOMAS, SHEILA

Team : OIPE

Date: 08/17/2000

Exhibit A (Page 1 of 1)

Application No. 09/588,389

Inventor: William F. Walsh

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DEC 12 2006



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COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/588,389	06/06/2000	2781	505	22830-67061	5	25	4

FILING RECEIPT



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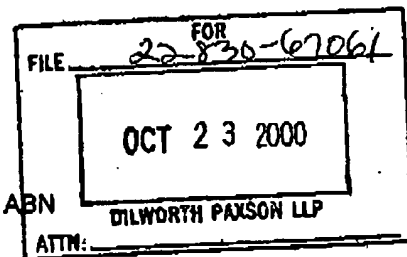
Evelyn H McConathy Esquire
Dilworth Paxson LLP
3200 Mellon Bank Center
1735 Market Street
Philadelphia, PA 19103-7595

Date Mailed: 10/19/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

William F. Walsh, Basking Ridge, NJ;
~~Michael A. Arbolino, Freehold, NJ;~~



Continuing Data as Claimed by Applicant

THIS APPLICATION IS A CIP OF 09/253,880 02/22/1999 ABN

Foreign Applications

If Required, Foreign Filing License Granted 08/17/2000

** SMALL ENTITY **

Title

Method, apparatus and computer-based program for exclusive investment of debenture credit

Preliminary Class

705

Exhibit B (Page 1 of 4)
Application No. 09/588,389
Inventor: William F. Walsh

DEC. 12. 2006 3:18PM

DILWORTH PAXSON LLP

NO. 537

P. 7
Page 2 of 4

Data entry by : THOMAS, SHEILA

Team : OIPE

Date: 10/19/2000

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Exhibit B (Page 2 of 4)
Application No. 09/588,389
Inventor: William F. Walsh

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231

Exhibit B (Page 3 of 4)
Application No. 09/588,389
Inventor: William F. Walsh

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NO. 537

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Page 4 of 4

Exhibit B (Page 4 of 4)
Application No. 09/588,389
Inventor: William F. Walsh

ATTORNEY DOCKET NO.: 22830-67061

USSN 09/588,389

COMBINED DECLARATION AND POWER OF ATTORNEY**(ORIGINAL, DESIGN, NATIONAL STAGE OF PCT, SUPPLEMENTAL, DIVISIONAL,
CONTINUATION, OR C-I-P)**

As a below-named inventor, I hereby declare that:

TYPE OF DECLARATION

This declaration is of the following type:

- ☒ original
- ☐ design
- ☐ supplemental
- ☐ national stage of PCT
- ☐ divisional
- ☐ continuation
- ☒ continuation-in-part (C-I-P).

INVENTORSHIP IDENTIFICATION

My residence, post office address and citizenship are as stated below next to my name. I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **METHOD, APPARATUS AND COMPUTER-BASED PROGRAM FOR EXCLUSIVE INVESTMENT OF DEBENTURE CREDIT** the specification of which:

- (a) ☐ is attached hereto OR
- (b) ☒ was filed on June 6, 2000 as United States Application Serial Number 09/588,389 and was amended on _____ (if applicable)
- (c) ☐ was described and claimed in PCT International Application Number _____, filed on _____ and as amended under PCT Article 19 on _____ (if any).

ATTORNEY DOCKET NO.: 22830-67061

USSN 09/588,389

SUPPLEMENTAL DECLARATION (37 C.F.R. § 1.67(b))

☐ I hereby declare that the subject matter of the

☐ attached amendment

☐ amendment filed on _____

was part of my/our invention and was invented before the filing date of the original application, above-identified, for such invention.

ACKNOWLEDGEMENT OF REVIEW OF PAPERS AND DUTY OF CANDOR

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with 37 CFR § 1.56,

☒ and which is material to the examination of this application, namely, information where there is a substantial likelihood that a reasonable Examiner would consider it important in deciding whether to allow the application to issue as a patent, and

☐ in compliance with this duty, there is attached an Information Disclosure Statement, in accordance with 37 C.F.R. § 1.98.

PRIORITY CLAIM (35 U.S.C. §§ 119(a)-(d))

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a-d) of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) on which priority is claimed.

(complete (d) or (e))

☒ no such application have been filed.

☐ such applications have been filed as follows:

ATTORNEY DOCKET NO.: 22830-67061

USSN 09/588,389

**PRIOR FOREIGN/PCT APPLICATION(S) FILED WITHIN 12 MONTHS
(6 MONTHS FOR DESIGN) PRIOR TO THIS APPLICATION
AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. § 119(a)-(d)**

COUNTRY (or indicate if PCT)	APPLICATION NUMBER	DATE OF FILING (day/month/year)	PRIORITY CLAIMED UNDER 37 USC 119	CERTIFIED COPY ATTACHED?
			<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO

CLAIM FOR BENEFIT OF PRIOR U.S. PROVISIONAL APPLICATION(S)

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below.

Application Numbers	Filing Date (month/day/year)

**CLAIM FOR BENEFIT OF EARLIER US/PCT APPLICATION(S)
UNDER 35 U.S.C. § 120**

- ☒ The claim for the benefit of any such applications are set forth in the attached ADDED PAGES TO COMBINED DECLARATION AND POWER OF ATTORNEY FOR DIVISIONAL, CONTINUATION OR CONTINUATION-IN-PART (C-I-P) APPLICATION.

**ALL FOREIGN APPLICATION(S), IF ANY, FILED MORE THAN 12 MONTHS
(6 MONTHS FOR DESIGN) PRIOR TO THIS U.S. APPLICATION**

COUNTRY (or indicate if PCT)	APPLICATION NUMBER	DATE OF FILING (day/MONTH/year)	PRIORITY CLAIMED?

ATTORNEY DOCKET NO.: 22830-67061

USSN 09/588,389

POWER OF ATTORNEY

I hereby appoint the following practitioner(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

Evelyn H. McConathy **Reg. No. 35,279**
Joseph E. Chovanes **Reg. No. 33,481**

- [] I hereby appoint the practitioner(s) associated with Customer Number _____ to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.
- [] Attached, as part of this Declaration and Power of Attorney, is the authorization of the above-named practitioner(s) to accept and follow instructions from my representative(s).

Direct all telephone calls and correspondence to:

Evelyn H. McConathy, Esquire
DILWORTH PAXSON LLP
3200 Mellon Bank Center
1735 Market Street
Philadelphia, PA 19103-7595

Telephone: (215) 575-7000
Facsimile: (215) 575-7200

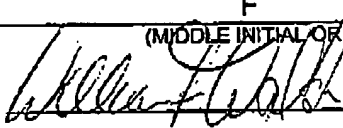
DECLARATION

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

ATTORNEY DOCKET NO.: 22830-67081

USSN 09/588,389

SIGNATURE(S)**1. FULL NAME OF SOLE OR FIRST INVENTOR**

WALSH F William
(GIVEN NAME) (MIDDLE INITIAL OR NAME) FAMILY (OR LAST NAME)
INVENTOR'S SIGNATURE 
DATE 09/29/2006 COUNTRY OF CITIZENSHIP U.S.
RESIDENCE 3129 Valley Road, Basking Ridge, New Jersey 07920
POST OFFICE ADDRESS SAME

2. FULL NAME OF SECOND JOINT INVENTOR (IF ANY)

(GIVEN NAME) (MIDDLE INITIAL OR NAME) FAMILY (OR LAST NAME)
INVENTOR'S SIGNATURE _____
DATE _____ COUNTRY OF CITIZENSHIP U.S.
RESIDENCE _____
POST OFFICE ADDRESS _____

3. FULL NAME OF THIRD JOINT INVENTOR (IF ANY)

(GIVEN NAME) (MIDDLE INITIAL OR NAME) FAMILY (OR LAST NAME)
INVENTOR'S SIGNATURE _____
DATE _____ COUNTRY OF CITIZENSHIP _____
RESIDENCE _____
POST OFFICE ADDRESS _____

ATTORNEY DOCKET NO.: 22830-67061

USSN 09/588,389

**ADDED PAGES TO COMBINED DECLARATION
AND POWER OF ATTORNEY**

- ☐ Signature for subsequent joint inventors. Number of pages added: __
- ☐ Signature by administrator(trix), executor(trix) or legal representative for deceased or incapacitated inventor. Number of pages added: __
- ☐ Signature for inventor who refuses to sign or cannot be reached by person authorized under 37 CFR § 1.47. Number of pages added: __
- ☐ Added page for signature by one joint inventor on behalf of deceased inventor(s) where legal representative cannot be appointed in time. (37 CFR § 1.47)
- ☒ Added pages to combined declaration and power of attorney for divisional, continuation, or continuation-in-part (C-I-P) application.
Number of pages added: 1
- ☐ Authorization of practitioner(s) to accept and follow instructions from representative.

☐ This Declaration ends with this page.

ATTORNEY DOCKET NO.: 22830-67061

USSN 09/588,389

**ADDED PAGES TO COMBINED DECLARATION
AND POWER OF ATTORNEY FOR DIVISIONAL,
CONTINUATION OR C-I-P APPLICATION**

(complete this part only if this is a divisional, continuation or C-I-P application)

**CLAIM FOR BENEFIT OF EARLIER US/PCT APPLICATION(S)
UNDER 35 U.S.C. § 120**

I hereby claim the benefit under **35 U.S.C. § 120** of any United States application(s) or PCT international application(s) designating the United States of America, listed below, and insofar as the subject matter of each of the claims of this application is not disclosed in such prior United States or PCT international application(s) in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information

☒ that is material to patentability as defined in 37 CFR § 1.56

☒ and that is material to the examination of this application, namely, information where there is a substantial likelihood that a reasonable examiner would consider it important in deciding whether to allow the application to issue as a patent,

that occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application. (37 C.F.R. § 1.63(e)).

☐ In compliance with this duty, there is attached an Information Disclosure Statement, in accordance with 37 C.F.R. § 1.98.

PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. § 120:				
U.S. APPLICATIONS		STATUS (<i>CHECK ONE</i>)		
APPLICATION SERIAL NO.	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
09/253,880	02/22/1999			X

- i -

Exhibit C (Page 7 of 7)
Application No. 09/588,389
Inventor: William F. Walsh

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BEST AVAILABLE IMAGES

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- ☐ OTHER: _____

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